

11/17/99
JC586 U.S. PTO

UTILITY PATENT APPLICATION TRANSMITTAL

Attorney Docket No. 38179-150015
First Named Inventor Testaye Zerhun Yigzaw
Title Anti-Cancer Extracts and Pharmaceutical Compositions, Methods of Preparation and Use
Express Mail Label No. EL209596254US

APPLICATION ELEMENTS
See MPEP Chapter 600 concerning utility patent application contents

ADDRESS TO: Assistant Commissioner for Patents
Box Patent Application
Washington, D.C. 20531

1. ☒ Specification Total Pages 34
preferred arrangement as set forth below
- Descriptive title of the Invention
- Cross References to Related Applications
- Statement Regarding Fed sponsored R & D
- Reference to Microfiche Appendix
- Background of the Invention
- Brief Summary of the Invention
- Brief Description of the Drawings (if filed)
- Detailed Description
- Claim(s)
- Abstract of the Disclosure

2. ☒ Drawing(s) (35 USC 113) Total Sheets 31
3. Oath or Declaration Total Pages 03

- a. ☒ Unexecuted
b. ☐ Copy from a prior application (37 CFR 1.63(d)) (for continuation, divisional with box 17 completed, (Note Box 4 below)
i. ☐ DELETION OF INVENTOR(S)
Signed statement attached deleting inventor(s) named in the prior application, See 37 CFR 1.63(d)(2) and 1.33(b)

4. ☐ Incorporation By Reference (usable if Box 3b is checked)
The entire disclosure of the prior application, which a copy of the oath or declaration is supplied under Box 3b, is considered as being part of the disclosure of the accompanying application and is hereby incorporated by reference therein.

5. ☐ Microfiche Computer Program (Appendix)
6. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
a. ☐ Computer Readable Copy
b. ☐ Paper Copy (identical to computer copy)
c. ☐ Statement verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

7. ☐ Assignment Papers (cover sheet & document(s))
8. ☐ 37 CFR 3.73(b) Statement ☒ Power of Attorney (when there is an assignee)
9. ☐ English Translation Document (if applicable)
10. ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
11. ☐ Preliminary Amendment
12. ☒ Return Receipt Postcard (MPEP 503)
13. ☒ Small Entity Statement ☐ Statement filed in prior application, Status still proper and desired
14. ☐ Certified Copy of Priority Document(s) (If foreign priority is claimed)
15. Other:
☒ Check in the amount of \$380.00
During the pendency of this application, the Commissioner is hereby authorized to credit overpayments or charge any additional fees under 37 CFR 1.116 and 1.117 to Deposit Account No. 11-0855

16. If a CONTINUING APPLICATION, check appropriate box and supply the requisite information below and in a preliminary amendment
☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.:
Prior application information: Examiner: Group/Art Unit:

17. FEE CALCULATIONS

CLAIMS	For	Number Filed					Extra	Rate	Calculations	
	Total Claims	01	-	20	=	00	x	\$18 =	\$0.00	
	Indep. Claims	01	-	03	=	00	x	\$78 =	\$0.00	
	Multiple Dependent Claims (if applicable)							+	\$260 =	\$0.00
						Basic Fee (37 CFR 1.16)			\$760.00	
						Total Calculations			\$760.00	
	Reduced by 50% for filing small entity (Note 37 CFR 1.9, 1.27, 1.28).									\$380.00
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31) \$40 per property.									\$0.00	
TOTAL FEES SUBMITTED									\$380.00	

18. CORRESPONDENCE ADDRESS

Name	John S. Pratt, Esq. KILPATRICK STOCKTON LLP				
Address	1100 Peachtree Street Suite 2800				
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Country	U.S.A.	Telephone	404.815.6500	Fax	404.815.6555
Name (Print Type)	Rebecca J Kaufman	Registration No. (Attorney Agent)	44,819		
Signature	Rebecca J Kaufman	Date	11/17/99		November 17, 1999

STATEMENT CLAIMING SMALL ENTITY STATUS
(37 CFR 1.9(f) & 1.27(c))--SMALL BUSINESS CONCERN

Docket Number (Optional)

56179/190315

Applicant, Patentee, or Identifier:

Tesfaye Yigzaw

Application or Patent No.:

Filed or Issued:

November 17, 1999

Title:

Anti-Cancer Extracts and Pharmaceutical
Compositions, Methods of Preparation and Use

I hereby state that I am



the owner of the small business concern identified below



an official of the small business concern empowered to act on behalf of the concern identified below:

Name of Small Business Concern

Abay Scientific Technologies, Inc.

Address of Small Business Concern

One Union Square, Suite 405
Chattanooga, Tennessee 37402

I hereby state that the above-identified small business concern qualifies as a small business concern as defined in 13 CFR Part 121 for purposes of paying reduced fees to the United States Patent and Trademark Office, in that the number of employees of the concern, including those of its affiliates, does not exceed 500 persons. For purposes of this statement, (1) the number of the employees of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full-time, part-time, or temporary basis during each of the pay periods of the fiscal year; and (2) concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third party or parties controls or has the power to control both.

I hereby state that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the invention described in:



the specification filed herewith with title as listed above.



the application identified above.



the patent identified above.

If the rights held by the above-identified small business concern are not exclusive, each individual, concern, or organization having rights in the invention must file separate statements as to their status as small entities, and no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37 CFR 1.9(c) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d), or a nonprofit organization under 37 CFR 1.9(e).

Each person, concern, or organization having any rights in the invention is listed below.



no such person, concern, or organization exists.



each such person, concern, or organization is listed below.

Name of Small Business Concern

Address of Small Business Concern

Separate statements are required from each named person, concern, or organization having rights to the invention stating their status as small entities. (37 CFR 1.27)

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

Name of Person Signing

Lanier Davenport

Title of Person if other than Owner

Chief Executive Officer

Address of Person Signing

One Union Square, Suite 405, Chattanooga, Tennessee 37402

Signature



Date: November 17, 1999

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